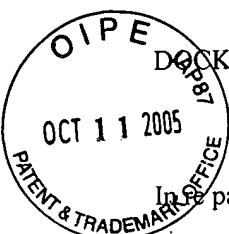


2121  
3126



DOCKET NO.: MS131753.3/MSFTP222USB

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In patent application of

Applicant: **David E. Heckerman, et al.**  
Serial No.: **09/430,767**  
Filed: **October 29, 1999**  
For: **CLUSTER-BASED AND RULE-BASED APPROACH FOR AUTOMATED WEB-BASED  
TARGETED ADVERTISING WITH QUOTAS**  
Art Unit: **2121**  
Examiner: **Wilbert L. Starks**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

|              |                   |                   |                   |
|--------------|-------------------|-------------------|-------------------|
| Serial No.:  | <u>60/142,330</u> | <u>09/430,737</u> | <u>09/565,583</u> |
| Filing Date: | <u>7/3/1999</u>   | <u>10/29/1999</u> | <u>5/4/2000</u>   |

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☐ Before the mailing date of an Office Action after the filing of a request for continued examination under

10/12/2005 RFEKADU1 00000051 09430767

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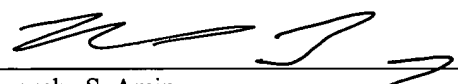
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- (d) ☒ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☐ Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
- (i) ☐ Enclosed is a check covering the fee;
- (ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (iii) ☒ Enclosed is a credit card payment form covering the fee.
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(i)(1) for consideration of this Statement:
- (1) ☐ Enclosed is a check covering the fee;
- (2) ☐ Charge the fee set forth in 37 C.F.R. §1.17(i)(1) to Deposit Account No. 50-1063; or
- (3) ☐ Enclosed is a credit card payment form covering the fee.

4. Certification (if applicable)

- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.
5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

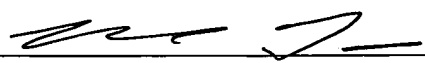
By   
Himanshu S. Amin  
Reg. No. 40,894

Amin & Turocy, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 East 9<sup>th</sup> Street  
Cleveland, Ohio 44114  
(216) 696-8730

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450.

10-6-05  
Date

  
Himanshu S. Amin



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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**SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

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of

2

**Complete if Known**

|                        |                            |
|------------------------|----------------------------|
| Application Number     | 09/430,767                 |
| Filing Date            | October 29, 1999           |
| First Named Inventor   | David E. Heckerman, et al. |
| Art Unit               | 2121                       |
| Examiner Name          | Wilbert L. Starks          |
| Attorney Docket Number | MS131753.3/MAFTP222USB     |

**U. S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                    |                       | US- 5,588,056                            | 12-24-1996                     | Ravi Ganesan                                       |   |
|                    |                       | US- 5, 850, 448                          | 12-15-1998                     | Ravi Ganesan                                       |   |
|                    |                       | US- 2003/0086413 A1                      | 05-08-2003                     | Sandra Tartarelli, et al.                          |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
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|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

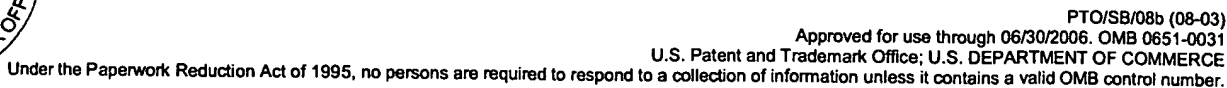
| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
|                    |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |   |                |
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SignatureDate  
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of

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**Complete If Known**

Application Number

09/430,767

Filing Date

October 29, 1999

***First Named Inventor***

David E. Heckerman, et al.

**Art Unit**

2121

**Examiner Name**

**Wilbert L. Starks**

**Attorney Docket Number**

MS131753.3/MAFTP222USB

## NON PATENT LITERATURE DOCUMENTS

[illegible]

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

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